

**U.S. Department of Housing and Urban Development
Office of Public and Indian Housing**

PHA Plans

5 Year Plan for Fiscal Years 2000 - 2004
Annual Plan for Fiscal Year 2000

**NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN ACCORDANCE WITH
INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

**PHA Plan
Agency Identification**

PHA Name: Middlesborough (KY)

PHA Number: KY019

PHA Fiscal Year Beginning: 07/2000

Public Access to Information

Information regarding any activities outlined in this plan can be obtained by contacting:
(select all that apply)

- ☒ Main administrative office of the PHA
- ☐ PHA development management offices
- ☐ PHA local offices

Display Locations For PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

- ☒ Main administrative office of the PHA
- ☐ PHA development management offices
- ☐ PHA local offices
- ☐ Main administrative office of the local government
- ☐ Main administrative office of the County government
- ☐ Main administrative office of the State government
- ☒ Public library
- ☐ PHA website
- ☐ Other (list below)

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- ☒ Main business office of the PHA
- ☐ PHA development management offices
- ☐ Other (list below)

5-YEAR PLAN
PHA FISCAL YEARS 2000 - 2004
[24 CFR Part 903.5]

A. Mission

- ☒ The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.

_____ The PHA's mission is: (state mission here)

B. Goals

HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.

- ☒ **PHA Goal: Expand the supply of assisted housing**
Objectives:

_____ Apply for additional rental vouchers:

☒ Reduce public housing vacancies:

_____ Leverage private or other public funds to create additional housing opportunities:

_____ Acquire or build units or developments

_____ Other (list below)

- ☒ **PHA Goal: Improve the quality of assisted housing**
Objectives:

_____ Improve public housing management: (PHAS score)

_____ Improve voucher management: (SEMAP score)

_____ Increase customer satisfaction:

_____ Concentrate on efforts to improve specific management functions:
(list; e.g., public housing finance; voucher unit inspections)

☒ Renovate or modernize public housing units: 75 units per year

_____ Demolish or dispose of obsolete public housing:

_____ Provide replacement public housing:

_____ Provide replacement vouchers:

_____ Other: (list below)

_____ **PHA Goal: Increase assisted housing choices**

Objectives:

- _____ **Provide voucher mobility counseling:**
- _____ **Conduct outreach efforts to potential voucher landlords**
- _____ **Increase voucher payment standards**
- _____ **Implement voucher homeownership program:**
- _____ **Implement public housing or other homeownership programs:**
- _____ **Implement public housing site-based waiting lists:**
- _____ **Convert public housing to vouchers:**
- _____ **Other: (list below)**

HUD Strategic Goal: Improve community quality of life and economic vitality

PHA Goal: Provide an improved living environment

Objectives:

- _____ **Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:**
- _____ **Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:**
- _____ **Implement public housing security improvements:**
Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
Other: (list below)

HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals

X PHA Goal: Promote self-sufficiency and asset development of assisted households

Objectives:

- _____ **Increase the number and percentage of employed persons in assisted families:**
- X Provide or attract supportive services to improve assistance recipients' employability: Conduct Job Readiness courses.**
- _____ **Provide or attract supportive services to increase independence for the**

_____ elderly or families with disabilities.
_____ Other: (list below)

HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans

**X PHA Goal: Ensure equal opportunity and affirmatively further fair housing
Objectives:**

_____ Undertake affirmative measures to ensure access to assisted housing
regardless of race, color, religion national origin, sex, familial status,
and disability:

_____ Undertake affirmative measures to provide a suitable living
environment for families living in assisted housing, regardless of race,
color, religion national origin, sex, familial status, and disability:

_____ Undertake affirmative measures to ensure accessible housing to
persons with all varieties of disabilities regardless of unit size required:

X Other: (list below)

1. Maintain our current policy of non-discrimination regardless of
race, color, religion, national origin, sex, familial status, or

2. Continue to inform residents of services and assistance available.

Other PHA Goals and Objectives: (list below)

Annual PHA Plan
PHA Fiscal Year 2000
[24 CFR Part 903.7]

Annual Plan Type:

_____ **Standard Plan**

Streamlined Plan:

- ☒ **High Performing PHA**
_____ **Small Agency (<250 Public Housing Units)**
_____ **Administering Section 8 Only**

_____ **Troubled Agency Plan**

Executive Summary of the Annual PHA Plan

[24 CFR Part 903.7 9 (r)]

This submission of the FY 2000 PHA Plans by the Housing Authority of Middlesborough reflects all the mandates of the new QHWRA of 1998 as we know and understand them. This plan, though as simple and straightforward as possible, nevertheless encompasses all the goals and objectives that HUD has suggested and that we feel promote the interests of the HA of Middlesborough and the residents.

Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

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Attachments

Required Attachments:

- ☒ Admissions Policy for Deconcentration
- ☒ FY 2000 Capital Fund Program Annual Statement
- ☐ Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

Optional Attachments:

- ☐ PHA Management Organizational Chart
- ☐ FY 2000 Capital Fund Program 5 Year Action Plan
- ☐ Public Housing Drug Elimination Program (PHDEP) Plan
- ☒ Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- ☐ Other (List below, providing each attachment name)

Supporting Documents Available for Review

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans

Applicable & On Display	Supporting Document	Applicable Plan Component
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public Housing Deconcentration and Income Mixing Documentation: PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 18. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the methodology for setting public housing flat rents X check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
	Section 8 rent determination (payment standard) policies check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach	Annual Plan: Operations and Maintenance

Applicable & On Display	Supporting Document	Applicable Plan Component
X	infestation)	
X	Public housing grievance procedures check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
	Section 8 informal review and hearing procedures check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
X	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
	Policies governing any Section 8 Homeownership program check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
	The most recent Public Housing Drug Elimination Program (PHEDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U. S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit

Applicable & On Display	Supporting Document	Applicable Plan Component
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

1. Statement of Housing Needs

[24 CFR Part 903.79(a)]

A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Over all	Afford- ability	Supply	Quality	Access- ibility	Size	Loca- tion
Income <= 30% of AMI	1,388	5	4	5	1	N/A	N/A
Income >30% but <=50% of AMI	734	4	3	4	1	N/A	N/A
Income >50% but <80% of AMI	758	3	3	3	1	N/A	N/A
Elderly	2,861	3	3	3	2	1	2
Families with Disabilities	N/A	4	4	3	3	2	3
Caucasion	11,202	2	3	2	1	2	1
African- American	244	4	3	4	1	2	1
Hispanic	18	5	3	5	1	2	1
Native/Asian	38	2	2	3	1	2	1

What sources of information did the PHA use to conduct this analysis? (Check all

that apply; all materials must be made available for public inspection.)

_____ Consolidated Plan of the Jurisdiction/s

Indicate year: _____

☒ U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset

_____ American Housing Survey data

Indicate year: _____

_____ Other housing market study

Indicate year: _____

_____ Other sources: (list and indicate year of information)

B. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
_____ Section 8 tenant-based assistance			
<input checked="" type="checkbox"/> _____ Public Housing			
_____ Combined Section 8 and Public Housing			
_____ Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	23		127
Extremely low income <=30% AMI	13		
Very low income (>30% but <=50% AMI)	4		
Low income (>50% but <80%)	6		

AMI)			
Families with children	9		
Elderly families	11		
Families with Disabilities	3		
Caucasion	20		
African-American	3		
Hispanic			
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)	# of families	% of total families	Annual Turnover
1BR	11		18
2 BR	7		53
3 BR	2		44
4 BR	3		6
5 BR			6
5+ BR			
Is the waiting list closed (select one)? <u>X</u> <u>No</u> Yes If yes: How long has it been closed (# of months)? Does the PHA expect to reopen the list in the PHA Plan year? No Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? No Yes			

C. Strategy for Addressing Needs

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:

- ☒ **Employ effective maintenance and management policies to minimize the number of public housing units off-line**
- ☒ **Reduce turnover time for vacated public housing units**
- ☒ **Reduce time to renovate public housing units**
- ☐ **Seek replacement of public housing units lost to the inventory through mixed finance development**
- ☐ **Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources**
- ☐ **Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction**
- ☐ **Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required**
- ☐ **Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration**
- ☐ **Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program**
- ☒ **Participate in the Consolidated Plan development process to ensure coordination with broader community strategies**
- ☐ **Other (list below)**

Strategy 2: Increase the number of affordable housing units by:

- ☐ **Apply for additional section 8 units should they become available**
- ☐ **Leverage affordable housing resources in the community through the creation of mixed - finance housing**
- ☐ **Pursue housing resources other than public housing or Section 8 tenant-based assistance.**
- ☐ **Other: (list below)**

Need: Specific Family Types: Families at or below 30% of median

Strategy 1: Target available assistance to families at or below 30 % of AMI

- ☐ **Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing**
- ☐ **Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance**
- ☐ **Employ admissions preferences aimed at families with economic hardships**
- ☒ **Adopt rent policies to support and encourage work**
- ☐ **Other: (list below)**

Need: Specific Family Types: Families at or below 50% of median

Strategy 1: Target available assistance to families at or below 50% of AMI

☒ **Employ admissions preferences aimed at families who are working**
☒ **Adopt rent policies to support and encourage work**
____ **Other: (list below)**

B. Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

____ **Seek designation of public housing for the elderly**
____ **Apply for special-purpose vouchers targeted to the elderly, should they become available**
____ **Other: (list below)**

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

____ **Seek designation of public housing for families with disabilities**
☒ **Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing**
____ **Apply for special-purpose vouchers targeted to families with disabilities, should they become available**
____ **Affirmatively market to local non-profit agencies that assist families with disabilities**
____ **Other: (list below)**

Need: Specific Family Types: Races or ethnicities with disproportionate housing needs

Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

____ **Affirmatively market to races/ethnicities shown to have disproportionate housing needs**
____ **Other: (list below)**

Strategy 2: Conduct activities to affirmatively further fair housing

- ☐ Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- ☐ Market the section 8 program to owners outside of areas of poverty /minority concentrations
- ☐ Other: (list below)

Other Housing Needs & Strategies: (list needs and strategies below)

(2) Reasons for Selecting Strategies

Of the factors listed below, select all that influenced the PHA's selection of the strategies it will pursue:

- ☒ Funding constraints
- ☒ Staffing constraints
- ☐ Limited availability of sites for assisted housing
- ☒ Extent to which particular housing needs are met by other organizations in the community
- ☒ Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- ☐ Influence of the housing market on PHA programs
- ☐ Community priorities regarding housing assistance
- ☐ Results of consultation with local or state government
- ☒ Results of consultation with residents and the Resident Advisory Board
- ☐ Results of consultation with advocacy groups
- ☐ Other: (list below)

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2000 grants)		
a) Public Housing Operating Fund	\$514,172	
b) Public Housing Capital Fund	581,227	
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance		
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)		

Sources	Planned \$	Planned Uses
g) Resident Opportunity and Self-Sufficiency Grants		
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
2. Prior Year Federal Grants (unobligated funds only) (list below)		
CGP 707 (1999)	500,000	
3. Public Housing Dwelling Rental Income		
from operating budget	\$ 644,900	Operations/reserves
4. Other income (list below)		
Other Income	9,840	Operations/reserves
Interest	17,310	Operations/reserves
4. Non-federal sources (list below)		
Total resources	\$ 2,267,449	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.79 (c)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent

(1) Eligibility

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

_____ When families are within a certain number of being offered a unit: (state number)

_____ When families are within a certain time of being offered a unit: (state time)

X Other: **Eligibility verification process begins at time of application.**

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- ☒ Criminal or Drug-related activity
☒ Rental history
☐ Housekeeping
☐ Other (describe)

c. ☒ Yes ☐ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

d. ☒ Yes ☐ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

e. ☒ Yes ☐ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

(2)Waiting List Organization

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- ☒ Community-wide list
☐ Sub-jurisdictional lists
☐ Site-based waiting lists
☐ Other (describe)

b. Where may interested persons apply for admission to public housing?

- ☒ PHA main administrative office
☐ PHA development site management office
☒ Other (list below)

Via mail.

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection (3)
Assignment

1. How many site-based waiting lists will the PHA operate in the coming year?

2. ☐ Yes ☐ No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?
If yes, how many lists?

3. ☐ Yes ☐ No: May families be on more than one list simultaneously

If yes, how many lists?

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- ☐ PHA main administrative office
- ☐ All PHA development management offices
- ☐ Management offices at developments with site-based waiting lists
- ☐ At the development to which they would like to apply
- ☐ Other (list below)

(3) Assignment

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- ☐ One
- ☒ Two
- ☐ Three or More

b. ☒ Yes ☐ No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

(4) Admissions Preferences

a. Income targeting:

☐ Yes ☒ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- ☒ Emergencies
- ☐ Overhoused
- ☐ Underhoused
- ☐ Medical justification
- ☒ Administrative reasons determined by the PHA (e.g., to permit modernization work)

____ Resident choice: (state circumstances below)
____ Other: (list below)

a. Preferences

1. ☒ Yes ____ No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If “no” is selected, skip to subsection (5) Occupancy)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

☒ _____ Involuntary Displacement (Disaster, Government Action, Action of Housing
☒ Owner, Inaccessibility, Property Disposition)
____ Victims of domestic violence
☒ Substandard housing
☒ Homelessness
☒ High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

☒ Working families and those unable to work because of age or disability
____ Veterans and veterans' families
____ Residents who live and/or work in the jurisdiction
____ Those enrolled currently in educational, training, or upward mobility programs
____ Households that contribute to meeting income goals (broad range of incomes)
____ Households that contribute to meeting income requirements (targeting)
____ Those previously enrolled in educational, training, or upward mobility programs
____ Victims of reprisals or hate crimes
☒ Other preference(s) (list below)

** Elderly or disabled families.*

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same

number next to each. That means you can use "1" more than once, "2" more than once, etc.

_____ Date and Time

Former Federal preferences:

- 1** Involuntary Displacement (Disaster, Government Action, Action of Housing
_____ Owner, Inaccessibility, Property Disposition)
- _____ Victims of domestic violence
- 2** Substandard housing
- 1** Homelessness
- 2** High rent burden

Other preferences (select all that apply)

- 1** Working families and those unable to work because of age or disability
- _____ Veterans and veterans' families
- _____ Residents who live and/or work in the jurisdiction
- _____ Those enrolled currently in educational, training, or upward mobility programs
- _____ Households that contribute to meeting income goals (broad range of incomes)
- _____ Households that contribute to meeting income requirements (targeting)
- _____ Those previously enrolled in educational, training, or upward mobility programs
- _____ Victims of reprisals or hate crimes
- 1** Other preference(s) (list below)
* Elderly or disabled families.

4. Relationship of preferences to income targeting requirements:

- _____ The PHA applies preferences within income tiers
- X** Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Occupancy

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- X** The PHA-resident lease
- X** The PHA's Admissions and (Continued) Occupancy policy
- X** PHA briefing seminars or written materials
- _____ Other source (list)

**b. How often must residents notify the PHA of changes in family composition?
(select all that apply)**

- ☐ At an annual reexamination and lease renewal
☒ Any time family composition changes
☐ At family request for revision
☒ Other (list)
Any time there is a change in income.

(6) Deconcentration and Income Mixing

a. ☐ Yes ☒ No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty income mixing?
or

b. ☐ Yes ☒ No: Did the PHA adopt any changes to its admissions policies based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)
☐ Adoption of site-based waiting lists
☐ If selected, list targeted developments below:
☐ Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments
☐ If selected, list targeted developments below:
☐ Employing new admission preferences at targeted developments
☐ If selected, list targeted developments below:
☐ Other (list policies and developments targeted below)

d. ☐ Yes ☒ No: Did the PHA adopt any changes to other policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- ☐ Additional affirmative marketing
☐ Actions to improve the marketability of certain developments
☐ Adoption or adjustment of ceiling rents for certain developments
☐ Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
☐ Other (list below)
- f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)
- ☒ Not applicable: results of analysis did not indicate a need for such efforts
☐ List (any applicable) developments below:
- g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)
- ☒ Not applicable: results of analysis did not indicate a need for such efforts
☐ List (any applicable) developments below:

B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B. Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

- (1) Eligibility
- a. What is the extent of screening conducted by the PHA? (select all that apply)
- ☐ Criminal or drug-related activity only to the extent required by law or regulation
☐ Criminal and drug-related activity, more extensively than required by law or regulation
☐ More general screening than criminal and drug-related activity (list factors below)
☐ Other (list below)
- b. ☐ Yes ☐ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- c. ☐ Yes ☐ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- d. ☐ Yes ☐ No: Does the PHA access FBI criminal records from the FBI for

screening purposes? (either directly or through an NCIC-authorized source)

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

- ☐ Criminal or drug-related activity
☐ Other (describe below)

(2) Waiting List Organization

a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)

- ☐ None
☐ Federal public housing
☐ Federal moderate rehabilitation
☐ Federal project-based certificate program
☐ Other federal or local program (list below)

b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

- ☐ PHA main administrative office
☐ Other (list below)

(3) Search Time

a. ☐ Yes ☐ No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

(4) Admissions Preferences

a. Income targeting

☐ Yes ☐ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

b. Preferences

1. ☐ Yes ☐ No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent (5) Special purpose

section 8 assistance programs)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- ☐ **Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)**
- ☐ **Victims of domestic violence**
- ☐ **Substandard housing**
- ☐ **Homelessness**
- ☐ **High rent burden (rent is > 50 percent of income)**

Other preferences (select all that apply)

- ☐ **Working families and those unable to work because of age or disability**
- ☐ **Veterans and veterans' families**
- ☐ **Residents who live and/or work in your jurisdiction**
- ☐ **Those enrolled currently in educational, training, or upward mobility programs**

programs

- ☐ **Households that contribute to meeting income goals (broad range of incomes)**
- ☐ **Households that contribute to meeting income requirements (targeting)**
- ☐ **Those previously enrolled in educational, training, or upward mobility programs**
- ☐ **Victims of reprisals or hate crimes**
- ☐ **Other preference(s) (list below)**

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

☐ **Date and Time**

Former Federal preferences

- ☐ **Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)**

- ☐ Victims of domestic violence
- ☐ Substandard housing
- ☐ Homelessness
- ☐ High rent burden

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in your jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- ☐ Date and time of application
- ☐ Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for "residents who live and/or work in the jurisdiction" (select one)

- ☐ This preference has previously been reviewed and approved by HUD
- ☐ The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one)

- ☐ The PHA applies preferences within income tiers
- ☐ Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Special Purpose Section 8 Assistance Programs

a. In which documents or other reference materials are the policies governing

eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- ☐ The Section 8 Administrative Plan
- ☐ Briefing sessions and written materials
- ☐ Other (list below)

a. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- ☐ Through published notices
- ☐ Other (list below)

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. Public Housing

(1) Income Based Rent Policies

a. Use of discretionary policies: (select one)

The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

☒ The PHA employs discretionary policies for determining income based rent
(If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- ☐ \$0
- ☐ \$1-\$25

X \$26-\$50

2. ____ Yes X No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

a. Rents set at less than 30% than adjusted income

1. ____ Yes X No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?

2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)

____ For the earned income of a previously unemployed household member

____ For increases in earned income

____ Fixed amount (other than general rent-setting policy)

If yes, state amount/s and circumstances below:

____ Fixed percentage (other than general rent-setting policy)

If yes, state percentage/s and circumstances below:

____ For household heads

____ For other family members

____ For transportation expenses

____ For the non-reimbursed medical expenses of non-disabled or non-elderly families

____ Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)

- ☒ Yes for all developments
☐ Yes but only for some developments
☐ No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

- ☒ For all developments
☐ For all general occupancy developments (not elderly or disabled or elderly only)
☐ For specified general occupancy developments
☐ For certain parts of developments; e.g., the high-rise portion
☐ For certain size units; e.g., larger bedroom sizes
☐ Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- ☐ Market comparability study
☒ Fair market rents (FMR)
☐ 95th percentile rents
☐ 75 percent of operating costs
☐ 100 percent of operating costs for general occupancy (family) developments
☐ Operating costs plus debt service
☐ The "rental value" of the unit
☐ Other (list below)

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- ☐ Never
☐ At family option
☒ Any time the family experiences an income increase
☐ Any time a family experiences an income increase above a threshold amount

or _____ percentage: (if selected, specify threshold) _____
_____ Other (list below)

g. ____ Yes X No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

(2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- _____ The section 8 rent reasonableness study of comparable housing
_____ Survey of rents listed in local newspaper
X Survey of similar unassisted units in the neighborhood
X Other (list/describe below): Fair Market Value rents.

B. Section 8 Tenant-Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program).

(1) Payment Standards

Describe the voucher payment standards and policies.

a. What is the PHA's payment standard? (select the category that best describes your standard)

- _____ At or above 90% but below 100% of FMR
_____ 100% of FMR
_____ Above 100% but at or below 110% of FMR
_____ Above 110% of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- _____ FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
_____ The PHA has chosen to serve additional families by lowering the payment standard
_____ Reflects market or submarket

_____ Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level?
(select all that apply)

- _____ FMRs are not adequate to ensure success among assisted families in the
PHA's segment of the FMR area
- _____ Reflects market or submarket
- _____ To increase housing options for families
- _____ Other (list below)

d. How often are payment standards reevaluated for adequacy? (select one)

- _____ Annually
- _____ Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its
payment standard? (select all that apply)

- _____ Success rates of assisted families
- _____ Rent burdens of assisted families
- _____ Other (list below)

(2) Minimum Rent

a. What amount best reflects the PHA's minimum rent? (select one)

- _____ \$0
- _____ \$1-\$25
- _____ \$26-\$50

b. _____ Yes _____ No: Has the PHA adopted any discretionary minimum rent
hardship exemption policies? (if yes, list below)

5. Operations and Management

[24 CFR Part 903.79 (e)]

The Housing Authority of Middlesborough is exempt from this component.

A. PHA Management Structure

(Delete one) PHA's management structure and organization.

_____ **An organization chart showing the PHA's management structure and organization is attached.**

_____ **A brief description of the management structure and organization of the PHA follows:**

B. HUD Programs Under PHA Management

_. List Federal programs administered by the PHA, number of families served at the beginning

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing		
Section 8 Vouchers		
Section 8 Certificates		
Section 8 Mod Rehab		
Special Purpose Section 8 Certificates/Vouchers (list individually)		
Public Housing Drug Elimination Program (PHDEP)		
Other Federal Programs(list individually)		

C. Management and Maintenance Policies

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing

(1) Public Housing Maintenance and Management: (list below)

or eradication of pest infestation (which includes cockroach infestation) and the policies governing

Section 8 Management: (list below)

6. PHA Grievance Procedures

[24 CFR Part 903.79 (f)]

The Housing Authority of Middlesborough is exempt from this component.

A. Public Housing

1. ____ Yes ____ No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)
- ____ PHA main administrative office
- ____ PHA development management offices
- ____ Other (list below)

B. Section 8 Tenant-Based Assistance

1. ____ Yes ____ No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)
- ____ PHA main administrative office
- ____ Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

A. Capital Fund Activities

(1) Capital Fund Program Annual Statement

Select one:

The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment (state name)

-or-

☒ The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert here)

Annual Statement

Capital Fund Program (CFP) Part I: Summary

Line No.	Summary by Development Account	Total Estimated
1	Total Non-CGP Funds	-0-
2	1406 Operations	-0-
3	1408 Management Improvements	\$ 35,000
4	1410 Administration	5,000

5	1411	Audit	-0-
6	1415	Liquidated Damages	-0-
7	1430	Fees and Costs	52.000
8	1440	Site Acquisition	-0-
9	1450	Site Improvement	-0-
10	1460	Dwelling Structures	489.227
11	1465.1	Dwelling Equipment-Nonexpendable	-0-
12	1470	Nondwelling Structures	-0-
13	1475	Nondwelling Equipment	-0-
14	1485	Demolition	-0-
15	1490	Replacement Reserve	-0-
16	1492	Moving to Work Demonstration	-0-
17	1495.1	Relocation Costs	-0-
18	1498	Mod Used for Development	-0-
19	1502	Contingency	-0-
20	Amount of Annual Grant (Sum of lines 2-19)		\$ 581.227
21	Amount of line 20 Related to LBP Activities		
22	Amount of line 20 Related to Section 504 Compliance		
23	Amount of line 20 Related to Security		
24	Amount of line 20 Related to Energy Conservation		

Annual Statement

Capital Fund Program (CFP) Part II: Supporting Pages

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost
KY19-3 Schultz Heights Rennie Gavles	Vinyl Siding / Soffit	1460	\$ 76.500
	Guttering / Downspouts	1460	35.700
	Windows	1460	275.800
	Floor Tile (overage from CGP 707)	1460	101.227
PHA-WIDE	City Police Patrol	1408	35.000
	Administrative Expenses	1410	5.000
	A/E Services	1430	26.000

(2) Optional 5-Year Action Plan

a. ☒ Yes No: Is the PHA providing an optional 5-Year Action Plan for the Capital Fund? (if no, skip to sub-component 7B)

b. If yes to question a, select one:

The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment (state name

-or-

☒ The Capital Fund Program 5-Year Action Plan is provided below:
See charts at end of template.

B. HOPE VI and Public Housing Development and Replacement Activities (Non-Capital Fund)

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

____ Yes ☒ No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:

2. Development (project) number:

3. Status of grant: (select the statement that best describes the current status)

- ____ Revitalization Plan under development
- ____ Revitalization Plan submitted, pending approval
- ____ Revitalization Plan approved
- ____ Activities pursuant to an approved Revitalization Plan underway

____ Yes ☒ No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?

If yes, list development name/s below:

___ Yes X No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?

If yes, list developments or activities below:

___ Yes X No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?

If yes, list developments or activities below:

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

1. ___ Yes X No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)

2. Activity Description

___ Yes ___ No: Has the PHA provided the activities description information in the optional Public Housing Asset Management Table? (If “yes”, skip to component 9. If “No”, complete the Activity Description table below.)

Demolition/Disposition Activity Description
1a. Development name:
1b. Development (project) number:
2. Activity type: ___ Demolition ___ Disposition

3. Application status (select one) <input type="checkbox"/> Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date application approved, submitted, or planned for submission: (DD/MM/YY)
5. Number of units affected: Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: b. Projected end date of activity:

9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities

1. ☐ Yes ☒ No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to comp. 10.)

2. Activity Description

☐ Yes ☒ No: Has the PHA provided all required activity description information for this component in the optional Public Housing Asset Management Table? If “yes”, skip to component 10. If

“No”, complete the Activity Description table below.

Designation of Public Housing Activity Description
1a. Development name:
1b. Development (project) number:
2. Designation type: <input type="checkbox"/> Occupancy by only the elderly <input type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities
3. Application status (select one) <input type="checkbox"/> Approved; included in the PHA's Designation Plan <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date this designation approved, submitted, or planned for submission:
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.79(j)]

A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act

1. ☐ Yes ☒ No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

2. Activity Description

☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the optional Public Housing

Asset Management Table? If “yes”, skip to component 11. If “No”, complete the Activity Description table below.

Conversion of Public Housing Activity Description
1a. Development name: 1b. Development (project) number:
2. What is the status of the required assessment? <input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)
4. Status of Conversion Plan (select the statement that best describes the current status) <input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one) <input type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved: <input type="checkbox"/> Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved:) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved:) <input type="checkbox"/> Requirements no longer applicable: vacancy rates are less than 10 percent <input type="checkbox"/> Requirements no longer applicable: site now has less than 300 units <input type="checkbox"/> Other: (describe below)

B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937
C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937
<u>11. Homeownership Programs Administered by the PHA</u> [24 CFR Part 903.79 (k)]

A. Public Housing

1. ____ Yes ☒ No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to small PHA or high performing PHA status. PHAs completing streamlined submissions may skip to component 11B.)

2. Activity Description

- ____ Yes ____ No: Has the PHA provided all required activity description information for this component in the optional Public Housing Asset Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

Public Housing Homeownership Activity Description (Complete one for each development affected)
1a. Development name: 1b. Development (project) number:
2. Federal Program authority: ____ HOPE I ____ 5(h) ____ Turnkey III ____ Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one) ____ Approved; included in the PHA's Homeownership Plan/Program ____ Submitted, pending approval ____ Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: <u>DD/MM/YYYY</u>
5. Number of units affected: 6. Coverage of action: (select one) ____ Part of the development ____ Total development

B. Section 8 Tenant Based Assistance

1. ☐ Yes ☐ No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. High performing PHAs may skip to component 12.)

2. Program Description:

a. Size of Program

☐ Yes ☐ No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- ☐ 25 or fewer participants
- ☐ 26 - 50 participants
- ☐ 51 to 100 participants
- ☐ more than 100 participants

b. PHA-established eligibility criteria

☐ Yes ☐ No: Will the PHA’s program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

12. PHA Community Service and Self-sufficiency Programs

[24 CFR Part 903.79 (l)]

The Housing Authority of Middlesborough is exempt from this component

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

☐ Yes ☐ No: Has the PHA entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed?
DD/MM/YY

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- ☐ Client referrals
- ☐ Information sharing regarding mutual clients (for rent determinations and otherwise)
- ☐ Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
- ☐ Jointly administer programs
- ☐ Partner to administer a HUD Welfare-to-Work voucher program
- ☐ Joint administration of other demonstration program
- ☐ Other (describe)

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- ☐ Public housing rent determination policies
- ☐ Public housing admissions policies
- ☐ Section 8 admissions policies
- ☐ Preference in admission to section 8 for certain public housing families
- ☐ Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
- ☐ Preference/eligibility for public housing homeownership option participation
- ☐ Preference/eligibility for section 8 homeownership option

participation
 ____ Other policies (list below)

b. Economic and Social self-sufficiency programs

____ Yes ____ No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If “yes”, complete the following table; if “no” skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use.)

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)

(2) Family Self Sufficiency program/s

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2000 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing		
Section 8		

--	--	--

- b. ____ Yes ____ No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size?
If no, list steps the PHA will take below:

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)
- ____ Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
 - ____ Informing residents of new policy on admission and reexamination
 - ____ Actively notifying residents of new policy at times in addition to admission and reexamination.
 - ____ Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
 - ____ Establishing a protocol for exchange of information with all appropriate TANF agencies
 - ____ Other: (list below)

D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.79 (m)]

The Housing Authority of Middlesborough is exempt from this component.

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)
- ____ High incidence of violent and/or drug-related crime in some or all of the PHA's developments

- ☐ High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- ☐ Residents fearful for their safety and/or the safety of their children
- ☐ Observed lower-level crime, vandalism and/or graffiti
- ☐ People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- ☐ Other (describe below)

2. What information or data did the PHA used to determine the need for PHA actions to improve safety of residents (select all that apply).

- ☐ Safety and security survey of residents
- ☐ Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- ☐ Analysis of cost trends over time for repair of vandalism and removal of graffiti
- ☐ Resident reports
- ☐ PHA employee reports
- ☐ Police reports
- ☐ Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- ☐ Other (describe below)

3. Which developments are most affected? (list below)

B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- ☐ Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities
- ☐ Crime Prevention Through Environmental Design
- ☐ Activities targeted to at-risk youth, adults, or seniors
- ☐ Volunteer Resident Patrol/Block Watchers Program
- ☐ Other (describe below)

2. Which developments are most affected? (list below)

C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- ☐ Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- ☐ Police provide crime data to housing authority staff for analysis and action
- ☐ Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- ☐ Police regularly testify in and otherwise support eviction cases
- ☐ Police regularly meet with the PHA management and residents
- ☐ Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- ☐ Other activities (list below)

2. Which developments are most affected? (list below)

D. Additional information as required by PHDEP/PHDEP Plan

PHAs eligible for FY 2000 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

☐ Yes ☐ No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?

☐ Yes ☐ No: Has the PHA included the PHDEP Plan for FY 2000 in this PHA Plan?

☐ Yes ☐ No: This PHDEP Plan is an Attachment. (Attachment Filename:)

14. RESERVED FOR PET POLICY [24 CFR Part 903.7 9 (n)]

15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

16. Fiscal Audit

[24 CFR Part 903.7 9 (p)]

1. ☒ Yes ☐ No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?
(If no, skip to component 17.)
2. ☒ Yes ☐ No: Was the most recent fiscal audit submitted to HUD?
3. ☐ Yes ☒ No: Were there any findings as the result of that audit?
4. ☐ Yes ☐ No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain? ____
5. ☐ Yes ☐ No: Have responses to any unresolved findings been submitted to HUD?
If not, when are they due (state below)?

17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

The Housing Authority of Middlesborough is exempt from this component.

1. ☐ Yes ☐ No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock , including how the Agency will plan for long-term operating capital investment, rehabilitation, modernization, disposition, and other needs that have not been addressed elsewhere in PHA Plan?
this

2. What types of asset management activities will the PHA undertake? (select all that apply)
☐ Not applicable
☐ Private management
☐ Development-based accounting
☐ Comprehensive stock assessment
☐ Other: (list below)

3. ☐ Yes ☐ No: Has the PHA included descriptions of asset management activities in the optional Public Housing Asset Management Table?

18. Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. Yes ☒ No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?

2. If yes, the comments are: (if comments were received, the PHA MUST select one)

Attached at Attachment (File name)

Provided below:

Executive Director Randy Earle convened a meeting of the resident advisory board on March 29, 2000. At this meeting the draft 5-Year and Annual Plan were presented to the residents for consideration. The primary concern was the capital fund improvements. Residents agreed that the most pressing needs were at Schultz Heights - Rennie Gayles, which are addressed in the capital fund plan.

There were no substantive comments made nor were any changes required.

3. In what manner did the PHA address those comments? (select all that apply)

☐ ☐ Considered comments, but determined that no changes to the PHA Plan were necessary.

☐ The PHA changed portions of the PHA Plan in response to comments

☐ List changes below:

☒ Other: (list below) No changes required.

B. Description of Election process for Residents on the PHA Board

1. ☐ Yes ☒ No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)

2. ☐ Yes ☒ No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

a. Nomination of candidates for place on the ballot: (select all that apply)

☐ Candidates were nominated by resident and assisted family organizations

- _____ Candidates could be nominated by any adult recipient of PHA assistance
- _____ Self-nomination: Candidates registered with the PHA and requested a place on ballot
- _____ Other: (describe)

b. Eligible candidates: (select one)

- _____ Any recipient of PHA assistance
- _____ Any head of household receiving PHA assistance
- _____ Any adult recipient of PHA assistance
- _____ Any adult member of a resident or assisted family organization
- _____ Other (list)

c. Eligible voters: (select all that apply)

- _____ All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
- _____ Representatives of all PHA resident and assisted family organizations
- ☒ Other (list)

Appointed by Mayor.

C. Statement of Consistency with the Consolidated Plan

1. Consolidated Plan jurisdiction: Commonwealth of Kentucky

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- _____ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- _____ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- _____ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☒ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- _____ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

- *By addressing factors such as affordable housing needs & fair housing,**
- *In the plans similar goal of increasing the availability safe and decent low-income housing.**
- *By modifying the PHA's admissions procedures to address those of low and very low-income applicants.**
- *In the plans overall goals of assisting the low and very low-income families in the Commonwealth of Kentucky.**

D. Other Information Required by HUD

Use this section to provide any additional information requested by HUD.

Attachments

Use this section to provide any additional attachments referenced in the Plans.		

Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
KY19-1	Pinnacle Homes	9	11.69 %	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Concrete Replacement Replace Sewer Lines Comprehensive Drainange Improvements Additional Parking Spaces Re-Pave / Re-stripe Existing parking spaces GFI's New Smoke Detectors			25,000	2001
			77,000	2001
			50,000	2001
			15,000	2001
			10,000	2001
			16,200	2001
			6,000	2001
			Total estimated cost over next 5 years	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
KY19-2	Lincoln Homes	8	33.33 %
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
Elderly Alarm Systems @ 3 units Gas Meters		3,000 19,000	2001 2001
Total estimated cost over next 5 years		\$ 22,000	

Optional 5-Year Action Plan Tables

Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
KY19-3	Schultz Heights & Rennie Gayles	1	1 %	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Tree Trimming Light Fixtures Elderly Alarm Systems Interior Painting Replace Sewer Lines Replace Windows			25,000	2004
			25,000	2001
			19,370	2001
			60,000	2001
			250,000	2004
			191,450	2001
Total estimated cost over next 5 years			\$ 570,820	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
KY19-4	West End Homes	0	0 %
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
Screen Doors		50,000	2001
Tree Trimming		25,000	2004
Replace Concrete Sidewalks		20,000	2004
Site Lighting		6,000	2002
Curb Replacement		5,000	2002
Fencing		8,000	2002
Install Handrail		20,000	2002
Replace Porch Slabs		10,000	2002
Replace Gas Meters		25,000	2002
504 Handicap Conversions		45,000	2002
Elderly Alarm Systems		20,000	2002
Replace Windows		216,887	2002
Total estimated cost over next 5 years		\$ 450,887	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
KY19-5	Hinks Heights	9	14.52 %
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
Retaining Wall		41,387	2001
Additional Parking Spaces		15,000	2002
Improve entrance into Hinks Heights		27,480	2001
Roof Replacement		40,000	2001
Guttering /Downspouts		12,000	2001
Porch Canopies		9,000	2001
Replace Porch Slabs		5,000	2002
Replace Water Heaters		10,500	2002
Total estimated cost over next 5 years		\$ 160,367	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
KY19-6	Junction & Yaokum	15	15 %
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
Replace Entry Doors		101,500	2002
Re-design Junction Parking		40,000	2003
Replace Porch Posts		10,000	2003
504 HC Conversion		15,000	2003
Floor Tile & Subfloor Replacement (2nd Floor)		140,000	2003
GFI's in kitchen and bathroom		25,000	2003
Smoke Detectors		6,000	2003
Convert baseboard heat to central heat		254,887	2003
Total estimated cost over next 5 years		\$ 592,387	

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
PHA-WIDE	Middlesborough		
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
A/E and Management Fees (\$ 52,840 / year)		\$ 264,200	All
Stoves (50 ea)		17,500	2004
Refrigerators (100 ea)		50,000	2004
Maintenance Equipment		20,000	2004
City Police Patrol (\$ 35,000 per year)		175,000	All
Total estimated cost over next 5 years		\$ 526,700	

Optional Public Housing Asset Management Table

See Technical Guidance for instructions on the use of this table, including information to be provided.

Public Housing Asset Management								
Development Identification		Activity Description						
Name, Number, and Location	Number and Type of units	Capital Fund Program Parts II and III Component 7a	Development Activities Component 7b	Demolition / disposition Component 8	Designated housing Component 9	Conversion Component 10	Home-ownership Component 11a	Other (describe) Component 17